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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/519,140	12/22/2004	Joachim Charzinski	2002P10121WOUS	4448
7590 Siemens Corporation Intellectual Property Department 170 Wood Avenue South Iselin, NJ 08830			EXAMINER LAI, ANDREW	
			ART UNIT 2616	PAPER NUMBER
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

**Application No.**

10/519,140

**Applicant(s)**

CHARZINSKI ET AL.

**Examiner**

Andrew Lai

**Art Unit**

2616

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 22 December 2004.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 10-29 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 10-29 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>12/22/2004</u> .  | 6) <input type="checkbox"/> Other: _____                          |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 112***

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

2. Claims 26 and 27 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 26 and 27 recites the limitation "... *exchange information for the harmonization of behavior rules*". There is insufficient antecedent basis for this limitation in the claims. It appears that these claims should be written as reading "... *exchange information for a harmonization of behavior rules*" and Examiner will base subsequent Office Action on the reading cited herein.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claim 10 – 29 are rejected under 35 U.S.C. 102(b) as being anticipated by Clark et al (US 5,970,640 Clark hereinafter).

Clark discloses "real time control architecture for admission control in communication network" (col. 1 lines 1-3) comprising the following features:

- **Regarding Independent Claims 10, 26 and 27**

**Claims 10**, *a method for controlling a network element in a communication network* (see “the present invention aim to provide a control method and apparatus for controlling admission of communications connection to a communications network comprising a plurality of nodes and links” recited col. 2 lines 31-34, which is depicted in fig. 2 that “illustrates schematically a communications network comprising a plurality of node elements and a plurality of link elements” recited col. 5 lines), *the method comprising:*

*providing a plurality of behavior rules by the network element* (see “collecting a plurality of admission control policy data each relating to an admission control policy for admitting communications traffic data to a said node element” recited col. 2 lines 52-54);

*selecting a behavior rule according to operating conditions by the network element* (see “determining a new admission control policy data from said plurality of collected current control policy data” recited col. 2 lines 55-57, noting that “the method further comprises the steps of: collecting a plurality of performance data, each relating to a performance of a respective node element; and determining said new admission control policy data from said plurality of collected performance data.” recited col. 2 lines 63-67);

*forwarding data packets in accordance with the selected behavior rule by the network element* (see “operating said new admission control policy data at said plurality of node elements” recited col. 2 lines 58-59 and “which optimizes utilization of transmission resources within the network” recited col. 2 lines 33-34).

**Claim 26**, *a method for coupling a plurality of network elements* (see “the present invention aim to provide a control method and apparatus for controlling admission of communications connection to a communications network comprising a plurality of nodes and links” recited col. 2 lines 31-34, which is depicted in fig. 2 that “illustrates schematically a communications network comprising a plurality of node elements and a plurality of link elements” recited col. 5 lines), *the method comprising:*

*providing control entities* (fig. 2 switches e.g. “S1” – “S5” and see “each switch operates local control mechanisms for opportunistically selecting connection and

admission control policies at a local switch level” recited col. 7 lines 14-16), *each assigned to a network element* (fig. 2 noting that each of said switch is associated with at least one “CEQ” [customer equipment device]” and see further “Customer equipment devices (CEQ) each associated with a switch” recited col. 6 lines 14-15); *and*

*coupling two control entities* (fig. 2 depicting the coupling of said switches and see “the switches linked by a plurality of transmission links L1-L7 comprising link devices” recited col. 6 lines 12-14) *by a protocol by way of which they exchange information for a harmonization of behavior rules* (see “In the best mode herein, each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level, whilst the network controller operates a centralized control mechanism improving the overall connection admission and control policies operated across the network at a strategic level, based on the results of currently implemented policies at each of the switches” recited col. 7 lines 14-21. It should be noted that said operation of “improving the overall connection admission and control policies ... at a strategic level based on ... policies at each of the switches” will necessarily require high degree of coordination or *harmonization of behavior rules* of mutually *coupled control entities*, which are the switches in Clark).

**Claim 27**, *a method for coupling a plurality of network elements* (see “the present invention aim to provide a control method and apparatus for controlling admission of communications connection to a communications network comprising a plurality of nodes and links” recited col. 2 lines 31-34, which is depicted in fig. 2 that “illustrates

Art Unit: 2616

schematically a communications network comprising a plurality of node elements and a plurality of link elements" recited col. 5 lines), *the method comprising:*

*providing control entities* (fig. 2 switches, e.g. "S1" – "S5" and see "each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level" recited col. 7 lines 14-16), *each assigned to a network element* (fig. 2 noting that each of said switch is associated with at least one "CEQ" [customer equipment device]" and see further "Customer equipment devices (CEQ) each associated with a switch" recited col. 6 lines 14-15); *and*

*providing a plurality of behavior rules by the network element* (see "collecting a plurality of admission control policy data each relating to an admission control policy for admitting communications traffic data to a said node element" recited col. 2 lines 52-54);

*selecting a behavior rule according to operating conditions by the network element* (see "determining a new admission control policy data from said plurality of collected current control policy data" recited col. 2 lines 55-57, noting that "the method further comprises the steps of: collecting a plurality of performance data, each relating to a performance of a respective node element; and determining said new admission control policy data from said plurality of collected performance data." recited col. 2 lines 63-67);

*forwarding data packets in accordance with the selected behavior rule by the network element* (see "operating said new admission control policy data at said plurality of node elements" recited col. 2 lines 58-59 and "which optimizes utilization of transmission resources within the network" recited col. 2 lines 33-34); *and*

*coupling two control entities* (fig. 2 depicting the coupling of said switches and see "the switches linked by a plurality of transmission links L1-L7 comprising link



devices” recited col. 6 lines 12-14) *by a protocol by way of which they exchange information for a harmonization of behavior rules* (see “In the best mode herein, each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level, whilst the network controller operates a centralized control mechanism improving the overall connection admission and control policies operated across the network at a strategic level, based on the results of currently implemented policies at each of the switches” recited col. 7 lines 14-21. It should be noted that said operation of “improving the overall connection admission and control policies ... at a strategic level based on ... policies at each of the switches” will necessarily require high degree of coordination or *harmonization of behavior rules* of mutually *coupled control entities*, which are the switches in Clark).

- **Regarding Dependent Claims**

**Claims 11**, wherein the operating conditions are given by any combination of line interruption, node failure, network loading, connection establishment, or network reconfiguration (refer to fig. 4 and see “The switch 400 generates its own status data by generating signals describing performance parameters [*operating conditions*] of the switch such as its loading [*network loading*]; its cell discard, which describes the number of cell being lost in the switch due to congestion [*line interruption* and/or *node failure*] and from which quality of service may be determined; the cell rate through its buffers [*connection establishment*], describing the data rate and hence the utilization of its own circuitry; and the demand at the switch i.e. the call arrival rate of service request at the switch” recited col. 7 lines 59-67).

**Claims 12 and 13**, wherein a behavior rule contains a selection of one of a plurality of paths (refer to fig. 14 and see "predicted status data 1401 from the prediction engine 806 describing predictions of status of the network, for example, predicted demand, predicted path utilization and the evolved policy data" recited col. 14 lines 6-9).

**Claims 14, 15, and 16**, wherein the behavior rules are made in a control entity (see "each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level" recited col. 7 lines 14-16).

**Claims 17 and 18**, wherein the behavior rules are formed in a control entity individually (see "each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level" recited col. 7 lines 14-16) assigned to a network elements (refer to fig. 2 showing switches "S1" to "S5" each associated with at least one customer equipment devices "CEQ" and see further "Customer equipment devices (CEQ) each associated with a switch" recited col. 6 lines 14-15).

**Claims 19 and 20**, wherein the behavior rules can be delivered to the network element by way of network management from a control entity superordinated to a plurality of network elements (firstly, refer to fig. 2 and see "Connected with the network, ..., is a network controller apparatus 200" recited col. 6 lines 20-22, and then refer to fig. 10 and see "The network controller determines a set of new decision tables from the collected decision tables and distributes a new set of decision tables to each of the N

Art Unit: 2616

node elements, which then proceed to operate the new decision tables throughout the network” recited Abstract lines 8-13).

**Claims 21, 22 and 23**, *wherein the behavior rules are created automatically* (refer to fig. 7 and see “Each of the plurality of switches S1-S5 has its own knowledge base, storing its own current decision table data from which current admission policy decisions are currently implemented, and generates its own of current status data representing the current performance of the switch operating in accordance with its current active admission policy decisions” recited col. 10 lines 1-8 and “The switch may select any one of its M stored decision tables under control of a local selection algorithm operated by the switch” recited col. 10 lines 29-31).

**Claims 24 and 28**, *wherein the method is used in a packet-oriented and/or connectionless communication network* (see “discrete packets of information offered to the network are routed through a network of packet switching exchanges” recited col. 1 lines 47-49).

**Claims 25 and 29**, *wherein the network element autonomously or independently selects a behavior rule according to the operating conditions* (see “each switch operates local control mechanisms for opportunistically selecting connection and admission control policies at a local switch level” recited col. 7 lines 14-16).

### **Conclusion**

5. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Art Unit: 2616

US 4,999,833 provides a network connectivity control by artificial intelligence using rule-based algorithms.

US 5,440,547 discloses data transfer routing management for packet oriented networks by selecting a route for a certain policy of the network.

US 2002/0035641 teaches a service allocation device and associated method wherein automatically operated policy servers are used in deciding service allocations throughout the network by adjusting competing service requests and making new settings.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew Lai whose telephone number is 571-272-9741. The examiner can normally be reached on M-F 7:30-5:00 EST, Off alternative Fridays.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kwang Yao can be reached on 571-272-3182. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2616

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

AL

**KWANG BIN YAO**  
**SUPERVISORY PATENT EXAMINER**

A handwritten signature in black ink, appearing to read 'Kwang Bin Yao', is written over the printed name and title.